## EXHIBIT 5



## **INDIVIDUAL (MU2) FORM FILING**

An Individual (MU2) Form is a sub-form of the Company (MU1) and Branch (MU3) Forms, if applicable. If an individual is added into any of the following sections of the respective forms as identified below, an Individual (MU2) Form is generated and requires completion:

Company (MU1) Form	Branch (MU3) Form
<ul> <li>Direct Owner/Executive Officer (DO/EO)</li> <li>Indirect Owner with Control (IO)</li> <li>Qualifying Individual (QI)</li> </ul>	Branch Manager

Company users have the ability to fill out all or any portion of the Individual (MU2) Form. Even if the company user completes all sections of the Form, the individual must perform a filing attestation by logging in to their established individual account. Individual attestation must be completed **before** the company can submit the Company (MU1) or Branch (MU3) Form.

## Initiating an Individual (MU2) Form to be Completed/Amended:

- 1. Log in to your company NMLS account.
- 2. Click the **Filing** tab.
- 3. Click Company (MU1) or Branch (MU3) from the sub-menu.
- 4. Click the **Create New Filing** button.

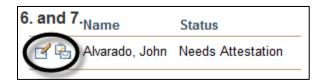
**NOTE:** If you do not see the **Create New Filing** button, you may already have a pending filing; in this instance, select the **Edit** icon ( $oxinesize{t}$ ) to continue editing the Company (MU1) /Branch (MU3) Form, or the **Delete** icon ( $oxinesize{t}$ ) to delete the pending filing.

- 5. Click *MU2 Forms* on the left navigation panel. If you do not see anyone listed in this section, you must add the individual(s) to the *DO/EO*, *IO*, *QI*, or *Branch Manager* sections as appropriate.
  - a. In order to add an individual, the individual must have an individual account and Company Access must be granted.
  - b. Companies can also be identified within the *DO/EO* section by clicking the **Add Company** button.

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- 6. If the company user is going to complete portions of the Individual (MU2) Form, click the **Edit** icon ( ) and continue to Step 8.
- 7. If the individual is going to complete the Form, click the **Request Attestation** icon

(4) and continue to the instructions on Page 3.



- 8. After completing some or all of the Individual (MU2) Form sections, select *Attest and Submit*, the last link on the left navigation panel.
- 9. Click the **Request Attestation** button. This will electronically send the Individual (MU2) Form to the Individual's NMLS account for completion and/or attestation.

**NOTE:** If the following error message displays when clicking the Request Attestation icon or button, an individual account must be created in order to continue:

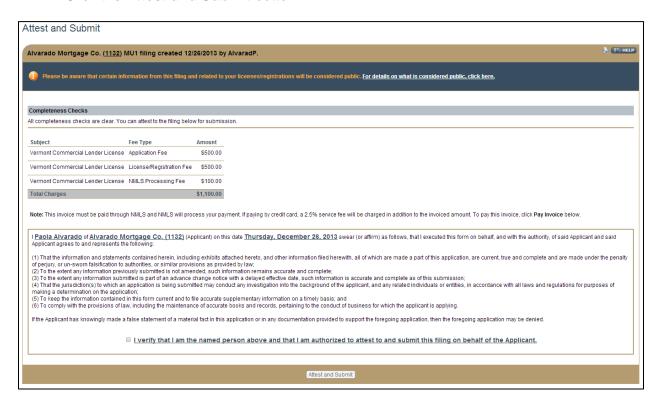
"The selected individual must create an Individual Account in NMLS to obtain a user name and password before the requested task can be completed. Contact the individual and ask him/her to notify you once the required Individual Account has been created. See the <a href="Create an Individual Account Quick Guide">Create an Individual Account Quick Guide</a> for instructions on creating an Individual Account."

- 10. Before the Company (MU1) or Branch (MU3) Forms can be submitted, the individual must log in to his or her individual account and complete and/or attest to their Individual (MU2) Form. This step must be completed by the individual. Further instructions on this process can be found on the Individual (MU2) Form Attestation Quick Guide.
- 11. When the individual has attested to the Individual (MU2) Form, continue to the Submitting the Company (MU1) or Branch (MU3) Form section of this guide below.

## Submitting the Company (MU1) or Branch (MU3) Form:

After the individual completes their attestation to the Individual (MU2) Form, the company user will receive an email notification from the system. After you receive this email, you must log back in to the company account and complete the Company (MU1) or Branch (MU3) Form submission.

- 1. Log in to your company NMLS account.
- Click the Filing tab.
- 3. Click Company (MU1) or Branch (MU3) from the sub-menu.
- 4. Click the **Edit** icon (**III**).
- 5. Select Attest and Submit, the last link on the left navigation panel.
- 6. After reviewing the attestation language, select the checkbox next to <u>I verify that I am the</u> <u>named person above and agree to the language as stated.</u>
- 7. Click the **Attest and Submit** button.



For help with system navigation, contact the NMLS Call Center at 1-855-NMLS-123 (1-855-665-7123).